

FORM PT-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER <b>IN-5516</b>	U.S. APPLICATION NO. (IF KNOWN SEE P. RR 15) <b>09/914545</b>	
INTERNATIONAL APPLICATION NO. <b>PCT/EP00/01931</b>	INTERNATIONAL FILING DATE <b>06. March 2000 (06.03.00)</b>	PRIORITY DATE CLAIMED <b>06 March 1999 (06.03.99)</b>

TITLE OF INVENTION: **SOL-GEL COATINGS FOR SINGLE-LAYER OR MULTI-LAYER VARNISHES**

APPLICATION(S) FOR DO/EO/US: **Peter BETZ, Wilfried STUBBE, and Horst HINTZE-BRUNING**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).  
☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date  
☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))  
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ have been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).  
☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C.371(c)(3))  
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).  
☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

**A copy of the cover sheet from the PCT Published Application  
A copy of the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **ET322159211US** addressed to the Commissioner for Patents, Washington, DC 20231 on August 30, 2001.

  
Marjorie Ellis

U.S. APPLICATION NO. (If known, see 37 CFR 1.50)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
09/914545		PCT/EP00/01931		IN-5516	
17. <input checked="" type="checkbox"/> The following fees are submitted				CALCULATIONS   PTO USE ONLY	
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither International preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....				\$970.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....				\$860.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO.....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....				\$ 96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	29 - 20 =	09	X \$18.00	\$162.00	
Independent claims	01- 03 =	0	X \$80.00	\$	
Multiple dependent claims(s) (if applicable)			+ \$270.00	\$	
TOTAL OF ABOVE CALCULATION =				\$1,022.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1,022.00	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$1,022.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$1,062.00	
				Amount to be: refunded	
				Charged	\$1,062.00
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 23-3425 in the amount of \$1,062.00 to cover the above fees A triplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3425. A triplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: BASF CORPORATION Patent Department 26701 Telegraph Road Southfield, Michigan 48034-2442 (248) 948-2355 Customer NO. 26922			Michael F. Morgan SIGNATURE Name 42,906 REGISTRATION NUMBER		